



Section 4  
ATTORNEY'S DOCKET NO: C01104/70015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell,  
Alfred Ducharme, Ralph Osterhout, Colin Piepgras, George G. Mueller, and Dawn Geary  
Serial No: 09/805,368  
Filed: March 13, 2001  
For: LIGHT-EMITTING DIODE BASED PRODUCTS  
Examiner: Unassigned  
Art Unit: Unassigned

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 16th day of November, 2001.

*Janine Michalski*  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- ☒ RESPONSE TO THE NOTICE TO FILE MISSING PARTS
- ☒ COPY OF NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
- ☒ TWO DECLARATIONS FOR PATENT APPLICATION
- ☒ PETITION FOR FOUR MONTH EXTENSION OF TIME
- ☒ LETTER TO THE OFFICIAL DRAFTSPERSON
- ☒ TWENTY-FOUR (24) SHEETS OF FORMAL DRAWINGS (FIGS. 1-31)
- ☒ RETURN POSTCARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

A check in the amount of \$2,480.00 is enclosed to cover the basic filing fee, the surcharge for the filing of the late declaration, the fee for additional and multiple claims, and a Four Month Extension. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

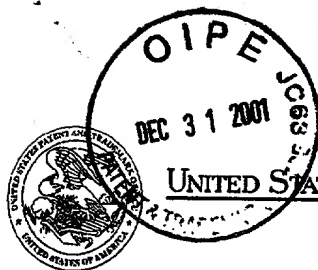
Kevin J. Dowling, et al., Applicants

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Docket No. C01104/70015  
Dated: November 16, 2001  
X (11/16/01)

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/805,368	03/13/2001	Kevin J. Dowling	CKC-091.01

CONFIRMATION NO. 1552

## FORMALITIES LETTER



\*OC000000006081048\*

25181  
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BOSTON, MA 02109

Repln. Ref: 01/09/2002 SSALEEKU 0010472900  
DN: 232825 Name/Number: 09805368  
FC: 704 \$114.00 CR

Date Mailed: 05/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/09/2002 SSALEEKU 00000012 09805368

FILED UNDER 37 CFR 1.53(b)

01 FC:203  
02 FC:202

693.00 OP  
378.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1300.
  - \$765 for 85 total claims over 20.
  - \$400 for 10 independent claims over 3.
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1720.

The application is informal since it does not comply with the regulations for the reason(s) indicated below:

Adjustment date: 01/09/2002 SSALEEKU

01/09/2002 KZENDIE 00000009 09805368

04 FC:202

-765.00 OP

- Substitute drawings in compliance with 37 CFR 1.84 because:

Adjustment date: 01/09/2002 SSALEEKU

01/09/2002 KZENDIE 00000009 09805368

03 FC:202

...ing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch); a left side margin of at least 2.5 cm. (1 inch); a right side margin of at least 1.5 cm. (5/8 inch), and a

01/03/2002 KZENDIE 00000009 09805368

01/03/2002 KZENDIE

370.00 OP  
65.00 OP  
140.00 OP

01 FC:201  
02 FC:205  
03 FC:202  
04 FC:203  
05 FC:204

bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice MUST be returned with the reply.*

MTB

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE